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These funding agreement procedures apply to all awards entered into by the department through which the department receives financial assistance. Funding agreements include grants, cooperative agreements, purchase orders, memorandums of understanding, cost-reimbursement contracts, and other assistance documents.

REFERENCES

All federal moneys received as grants to be deposited in the Federal Grant Program Fund, except restricted use funds, Section 33.546 RSMo Paragraph (1).

Certain state officials to receive copies of applications for federal funds, Section 33.085 RSMo Paragraph (1).

Presidential Executive Order 12372, “Intergovernmental Review of Federal Programs”

Executive Order 83-6, “State and Local Review Process”

OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments

OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments

Common Rule for Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

Related DNR policies

Conduct and Ethics 1.01

DNR Awarded Subgrants and Other Financial Assistance 7.08

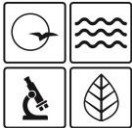
Purchasing Policy 7.05

Revenue Collection and Cash Receipts Policy 7.04

State Property Accountability 7.03

DEFINITIONS

Award: a funding agreement signed by both the department director, or designee, and the funding agency.

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Funding agency: A federal, state, or other agency that has funds available to award to eligible applicants.

Funding Agreement: an agreement for receipt of financial assistance made available by a funding agency in the form of a grant, cooperative agreement, purchase order, cost-reimbursement contract, memorandum of understanding, or other such instrument.

Grant application package: The electronic file containing the funding application and other mandatory documents downloaded from the grants.gov web site or a paper file containing the complete application documentation.

Lead organization: The organization that administers a multi-organization funding agreement.

Liquidation period: The period, specified in the award, following the project end date, when payments can only be processed against obligations incurred during the project period. In SAM II, within the last one-third of the liquidation period, a liquidation date is set to restrict transactions from processing to allow time for final reports to be prepared.

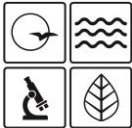
Mandatory documents: The documents in the grant application package that must be completely filled in before the “Submit” button will become functional.

Organization: A division, program, district office, regional office, state park or historic site within the Department of Natural Resources (DNR).

GENERAL PROVISIONS

These procedures document an electronic process. When paper is the required for a funding agency, the paper documentation follows the processes outlined in this procedure. For paper routing, the folder should contain the original and two copies (1 for division administration, 1 for Administrative Support), unless otherwise specified.

Organizations should ensure that complete documentation is retained for all award expenditures and programmatic requirements. The organization is responsible for answering questions about the award that may come up during an audit or review of the funding. The Division of Administrative Support, Accounting Program (DAS AP) will ensure that supporting documentation for financial reports, funding draws, and award close-outs is maintained. The DAS AP is responsible for answering questions about financial reports or the Schedule of

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Expenditures of Federal Awards (SEFA) that may come up during an audit or review of the award funding.

Finding Funding Opportunities

Organization staff identifies funding opportunities through the use of the Internet, publications, or mailed notifications. Federal funding opportunities are located on the government portal, <http://www.grants.gov>. (An online tutorial and a User's Guide are available on the grants.gov web site to assist in using and navigating the site. *Do not follow the instructions for getting a DUNS number or registration processes described in the tutorial and User's Guide.*)

Using the funding announcement, organization management and staff determines the appropriateness and applicability of the funding opportunity to the department's mission and goals. Consideration must be given to the ability of the organization to carry out the programmatic requirements of the award efficiently and effectively with current or proposed resources, administrative requirements, and cost benefit.

When it is determined the organization has the ability and desire to carry out the requirements of a subsequent award, the organization staff should seek pre-application assistance from the funding agency when required.

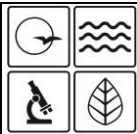
Division administrative review is required when an organization submits a letter and preproposal narratives to federal or other funding agencies. Any funding agreement pre-proposals shall be routed to the department director or designee for signature prior to submittal to the funding agency. If the pre-proposal is accepted, the application process as outlined proceeds.

Applying for Funding Opportunities

Once a funding opportunity is identified, organization staff prepares a Funding Summary when required by the division. Attachment 1 is an example of a Funding Summary.

The lead organization staff prepares all mandatory documents and any optional documents referenced in the grant application package for submission to the funding agency. The following departmental information should be listed in the appropriate fields on the application form:

- DUNS number field: 878144757
- EIN field: 44-6000987
- Legal Name field: Department of Natural Resources



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- Department field: Department of Natural Resources
- Division field: Division/Organization applying for the funding
- Address fields: Accounting Program - Grants Section, PO Box 176, Jefferson City, MO 65102
- Contact Information field: Grant Manager
- Authorized Representative field: Department Director

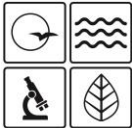
The application budget must be complete and accurate before submission of the application to the funding agency. The division's indirect rate should not be applied to the following items in the application budget:

- Equipment purchases*
- PSD expenditures**
- Capital improvements (agency 781)

*Equipment purchases greater than \$5,000 (federal definition) are listed on the application budget in the equipment category line and are reported in SAM II using the reporting category code (RCC) for equipment RCCE. Equipment purchases with a purchase amount of \$1,000 to \$4,999.99, are listed on the application budget in the supplies category line and use the supplies reporting category RCCS in SAM II. Equipment purchases greater than \$1,000, or sensitive items, use the SAM II equipment object codes (2700 – 2847 except 2706, 2707 and 2838). Equipment purchases with a cost less than \$1,000 are listed on the application budget in the supplies category line and use the supplies reporting category RCCS in SAM II. The under threshold SAM II object codes (2685 – 2697) are used on equipment purchases less than \$1,000.

<u>Purchase Amount</u>	<u>RCC</u>	<u>Object Code</u>
Less than \$1,000	(RCC)S	2685 – 2697
\$1,000 - \$4999.99, or sensitive	(RCC)S	2700 – 2847 except 2706, 2707 and 2838
\$5,000 and greater	(RCC)E	2700 – 2847 except 2706, 2707 and 2838

**SAM II's Indirect Cost Calculation Program calculates indirect on direct cost expenditures based on object code. Monthly, DAS AP reverses any indirect posting made from a PSD appropriation. This keeps the indirect posting in agreement with the theory used in the Indirect Cost Negotiation Agreement submitted annually to DNR's federal cognizant agency.

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Organization staff then prepares a transmittal letter to route the SF-424 face sheet, if applicable, to the Missouri Federal Assistance Clearinghouse for review of the federal assistance. Send the transmittal letter and the attachment to:

Missouri Federal Assistance Clearinghouse
Ms. Sara Vanderflectz
Office of Administration
Missouri State Capitol, Room 125
Jefferson City, MO 65101

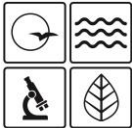
The SF-424 should be sent to the Clearinghouse at the same time that the folder is being routed through the department. The submission date should be included in Box 16a of the SF-424. Attachment 2 is an example of the Missouri Federal Assistance Clearinghouse transmittal letter. The Clearinghouse returns the SF-424 face sheet with a State Identification Number indicated in the upper right-hand corner of the form. The organization retains the returned Clearinghouse certification in the award file.

The lead organization then prepares a transmittal memo to the department director describing the funding opportunity. The transmittal memo to the director should state any extraordinary special terms and conditions denoted in the funding announcement.

To ensure sufficient review time, the grant application package should be completed as soon as possible and ready for department review at least two weeks prior to the application deadline.

Organization staff reviews the most recent Budget Book documents to determine that the award is included in the budget. If the award is not included in the Budget Book, the organization must include the DAS Budget Program (DAS BP) secretary in the electronic purple folder review cycle. The DAS BP secretary prints the necessary documents. The DAS BP staff sends a letter to the Senate Appropriations Committee notifying them of the application for funding. The letter is sent to Senate Appropriations, Room B-8, State Capitol, Jefferson City, Missouri 65102. The DAS BP sends a copy of the Senate Appropriations letter to the division fiscal liaison and the lead organization.

Organization staff prepares an electronic purple folder and attaches the grant application package and transmittal memo to the electronic purple folder. Attachment 3 describes the electronic purple folder process. Attachment 12 describes the attachment order and naming scheme for attachments. Any relevant background materials that will aid in the review should also be attached. Page 7 of Attachment 3 describes how to attach an e-mail link to an electronic purple

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folder. Staff also initiates a Funding Application Review Checklist for use in reviewing the grant application package and transmittal memo. Staff will attach the Funding Application Review Checklist to the electronic purple folder. Attachment 4 is the Funding Application Review Checklist. Grant application package preparer should not be a checklist reviewer. Each reviewer completes the checklist as directed by their respective divisions.

The organization staff reviews the grant application package for continuity, clarity, and reasoning of the proposal; completeness of the application and mathematical accuracy; timeliness; and reasonableness of the programmatic and administrative requirements.

If the need arises for additional levels of review outside the established review cycle, such as legal, the e-mail Link Message can be forwarded to those staff. Responses can be added to the purple folder tracking system to document actions. Attachment #3 contains instructions.

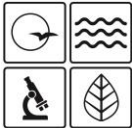
After review and approval of the grant application package and completion of the Funding Application Review Checklist at the organization level, DAS AP reviews the Funding Application Review Checklist to ensure all items have been checked and reviews the application package for completeness and accuracy. The DAS Director reviews the grant application package and submits the grant application package to the department director, or designee, for approval.

Once approval of the funding is attained from the department director, or designee, DAS AP electronically submits the grant application package to the funding agency. The grants.gov web site acknowledges receipt of the electronic grant application package and provides a tracking number. The DAS AP forwards the acknowledgement and signed SF-424 face sheet (application form) to the purple folder originator and division administration, via interagency mail.

Notice of Award

The DAS AP receives the electronic notice of award from the funding agency and initiates the electronic purple folder including the set-up of the review cycle. The notice of award is sent via e-mail by the folder tracking system to the lead organization staff with a separate e-mail notification to the fiscal liaison and division administration.

Organization staff initiates a Funding Acceptance Review Checklist, Attachment 5, for use in reviewing the notice of award and the transmittal memo, compares the award to the application, and reviews the award for inclusion of special terms and conditions.

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Organization staff prepares a transmittal memo to the department director describing the funding agreement. Staff attaches to the electronic purple folder the Funding Acceptance Review Checklist, and the department director transmittal memo.

After review and approval of the notice of award and completion of the Funding Acceptance Review Checklist at the organization level, the DAS AP reviews the notice of award. The AP Grant Review Checklist should be completed and attached and then submits the award funding agreement to the department director, or designee, for acceptance.

If the folder is not electronically received in DAS AP within five days, DAS AP will contact organization staff regarding the status of the acceptance.

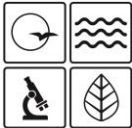
Once the notice of award is signed by the department director, or designee, DAS AP electronically submits the signed notice of award to the funding agency. The grants.gov web site acknowledges receipt of the electronic approval. The DAS AP forwards the acknowledgement and the signed notice of award to the organization purple folder originator, via interagency mail.

Award Setup

Organization staff contacts DAS AP staff to discuss any unusual or unique financial data capture requirements of the award. DAS AP determines the appropriate set up requirements for the award and sets up the award in SAM II.

After the initial set up of the award in SAM II, the DAS AP e-mails a Code Grid to the organization. Organization staff use the Code Grid to complete the Labor Distribution Profile (LDPR) form and Federal Aid Inference Table (FAIT) form to establish expenditure coding combinations in SAM II. Attachment 6 lists the DNR Reporting Category definitions. Attachment 7 is the LDPR form for personal service expenditures and Attachment 8 is the FAIT Request form. Organization staff e-mails the completed FAIT form and completed LDPR form to the “SAM II Code & Table Request” e-mail group. Upon receipt of the forms, DAS AP completes set up of the award and notifies the organization the award is set up in SAM II.

Sometimes, the organization receives assurances from the funding agency that funding for their funding agreement will be awarded. However, the official notice of award has not routed through the funding agency’s internal process. On a case-by-case basis, an award may be set up in SAM II prior to the notice of award and the department director’s or designee’s signature.

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To be eligible for setup in SAM II prior to receiving the notice of award, the organization must have received a notification from the funding agency stating the award will be forthcoming and stating the award budget period. Additionally, the organization must have a financial need for the award setup to occur prior to official notice. The division fiscal liaison or designee must approve the funding setup in SAM II and the organization must accept responsibility for processing any Journal Voucher (JV) documents if the award does not materialize. Additionally, the organization is responsible for any negative control account closing if JV's cannot be processed.

Administering Funding Agreements

DNR follows the federal grants management common rule for state and local governments. The complete text of the grant management common rule by federal agency can be found at <http://www.whitehouse.gov/omb/grants/chart.html>

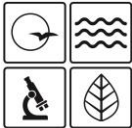
Organization staff performs a monthly reconciliation of program records to the DNR NR11R022 (Statement of Grant Cost by Organization) grant report. Grant managers must review grant records monthly to ensure all transactions and activity are appropriate for the grant.

Periodically, DAS AP meets with organization staff to discuss issues on any of their awards or funding applications.

Two months prior to an award's end date, the DAS AP notifies the organization that the award will soon be ending and asks them if an application for an extension or new application for the next year's funding will be forthcoming. The organization should respond within 15 days if an extension or application will be completed. DAS AP tracks these extension and renewal applications to help ensure timely filing with sufficient review time for all parties. If no communication is received from the organization after 30 days, a second notification is sent to the organization with a cc: to the Fiscal Liaison asking for a status on application for renewal or extension. The notifications also remind the organization to liquidate encumbrances on awards that are closing.

Semi-annually, the grant manager ensures that each employee working solely on a single federal award or cost objective certify that 100 percent of their time was on that funding for the period covered by the certification. The certification shall be retained in the organization file. Attachment 9 is an example of a Certification of 100% Federally Funded Personal Service form.

If it becomes necessary to terminate an award in whole or in part, the organization should prepare formal notification to the awarding agency setting forth the reasons for terminations and

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the effective date of the termination. A transmittal memo explaining the circumstances should be included and routed electronically for the department director's signature.

Financial Correction Adjustments

Any error or change to the original SAM II transaction document requires the organization to complete a SAM II Journal Voucher (JV) document or Payroll Accounting Adjustments (PACC) document. JV and PACC documents must be prepared in time to comply with the OA processing deadlines.

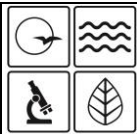
For expense and equipment (E&E) corrections, the organization completes the SAM II journal voucher document and the JV/FX Request Form. Attachment 10 A is the JV/FX Request Form and Attachment 10 B is the Adjustment Form Procedures. The JV/FX Request Form is attached to an e-mail sent by the designated person to the "SAM II JV and FX Adjustments" e-mail group. The DAS AP staff reviews the journal voucher to check that it is complete, accurate, and justifiable; applies system approval and forwards to OA Accounting.

For Personal Services (PS) corrections, the organization completes the SAM II PACC document, attaches it to a SAM II e-mail and ad hoc routes it to the designated staff in DAS AP. The PACC is reviewed for accuracy and forwarded to OA Accounting by DAS AP.

In the rare circumstance when the organization finds an error in a SAM II transaction and the JV deadline has passed, the organization may request an adjusting Federal Aid Charge (FX) document to correct the error. To request an adjusting FX document, the organization submits to the DAS AP, through their fiscal liaison or designee, a JV/FX Request Form containing justification for the correction, the original document number, the original accounting string, and the correcting accounting distribution. FX documents may only go back for two fiscal years and cannot be used for the following types of corrections: change in funding source; change in appropriation; or to eliminate the use of a reporting category code when the 0140 fund was used.

Grant Budget Adjustments

The common rule describes post award budget changes. In general, money moves (changes) within the budget for nonconstruction awards where the funding agency's share is \$100,000 or less, are permitted to meet unanticipated requirements to the approved project. For nonconstruction awards where the funding agency's share is more than \$100,000, awardees are



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permitted to cumulatively move money among the direct cost categories but not exceeding 10 percent of the total current approved budget. This part of the common rule is referred to as the 10 percent rule. Certain other types of awards, e.g., construction awards, always require the funding agency's pre-approval for changes. See the Amendments to Federal Funding Awards section for information on changes requiring approval from the funding agency. The organization shall follow these guidelines except when regulations or the award document makes provision to the contrary.

Designated persons within the organization send an e-mail requesting a budget category money move to the "SAM II Code and Table Request" e-mail group. The DAS AP staff reviews applicability of the 10 percent rule prior to effecting the requested money move.

Subgrantee Match Posting

Some awards allow the department to subgrant funds to third parties. When subgrantee match is to be reported to the funding agency, the organization notifies the DAS AP of the subgrantee match by providing confirmation of the match and a JV/FX Request Form. Confirmation of the match includes: a certification of the match amount provided by the subgrantee; the corresponding SAM II payment voucher number(s) when the subgrantee match amount is tied to the federal/state funds paid to the subgrantee.

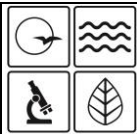
The DAS AP prepares a SAM II FX document to add the subgrantee match to the federal aid subsystem and notifies the organization of the FX document number. The organization should periodically reconcile their records to the amount of subgrantee match posted in SAM II.

Amendments to Funding Agreements

Application for Amendment

At times, the organization needs to make changes in the agreement with the funding agency. When those needs exceed the guidelines specified in the OMB Circular A-102 Common Rule, the organization prepares an amendment application for submission to the funding agency. Amendments must be completed prior to the end of the award. Amendments are required by the funding agency for programmatic changes and financial occurrences, including but not limited to:

- Money moves into a budget category not previously approved by the funding agency;



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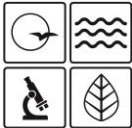
- Money moves on construction awards or combined construction/ nonconstruction projects;
- Cumulative money moves exceeding 10 percent of the current total budget on awards where the federal portion exceeds \$100,000;
- Equipment purchases exceeding \$5,000 per item that are not itemized in the original award;
- Applicable cost principles require prior approval;
- Need for additional funding;
- Transfer of funds allotted for training allowances;
- Extension of the period of availability of funds;
- Early termination of the agreement;
- Under nonconstruction projects, contracting out, subgranting (if authorized by law) or otherwise obtaining the services of a third party to perform activities that are central to the purposes of the award. This requirement does not apply to the procurement of equipment, supplies, or general support services.
- Other requirements which may be stated in the funding agency's codified grants common rule. Codified grants common rules may be found at <http://www.whitehouse.gov/omb/grants/chart.html>.

A transmittal letter, which includes a narrative justification for the proposed revision, must accompany the request for the amendment to the funding agency. The organization staff prepares a transmittal memo to the department director describing the proposed changes. When the organization makes requests for budget changes, the same budget form(s) as used in their original application must be prepared.

Organization staff prepares an electronic purple folder and attaches the amended application, narrative justification, and transmittal memo to the electronic purple folder. Any background material that will aid in the review should also be attached. Staff also initiates a Funding Application Review Checklist for use in reviewing the amendment application. Organization staff reviews the amendment application for completeness and mathematical accuracy, timeliness, and reasonableness of the justification narrative.

After review and approval of the amendment application at the organization level, the DAS AP reviews the amendment application, completes and attaches the AP Grant Review Checklist and submits the amendment application to the department director or designee for approval.

Once approval is attained from the department director or designee, DAS AP electronically submits the amendment application to the funding agency. The grants.gov web site will

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acknowledge receipt of the electronic amendment application and provide a tracking number. The DAS AP forwards the acknowledgement and signed SF-424 form to the organization staff via interagency mail.

Amendment Acceptance

The DAS AP receives the electronic notice of amended award from the funding agency and initiates the electronic purple folder including the set-up of the review cycle. The notice is sent via e-mail by the folder tracking system to the lead organization staff with a separate e-mail notification to the fiscal liaison and division administration.

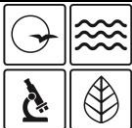
Organization staff initiates a Funding Acceptance Review Checklist. Staff compares the approval notice to the amendment application and prepares a transmittal memo to the department director describing the amendment approval and notes any change in the federal/state funding split. Staff attaches the Funding Acceptance Review Checklist and the department director's transmittal memo.

After review and approval of the amendment approval notification and completion of the Funding Acceptance Review Checklist at the organization level, the DAS AP reviews the notice of approval, completes and attaches the AP Grant Review Checklist and submits it to the department director or designee for acceptance. After the amendment is signed by the department director or designee, DAS AP electronically submits the signed amendment to the funding agency. The grants.gov web site acknowledges receipt of the electronic approval. The DAS AP forwards the acknowledgment and the signed amendment to the organization staff via interagency mail and DAS AP staff updates the federal aid subsystem to reflect the changes approved by the funding agency.

Funding Agreement Draws

The grants management common rule requires the awardee to have procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by the grantees where advanced payments are used. The grants management common rule does not stipulate how often draws must be made; however, some award agreements may require that draws not exceed a maximum number of draws in a specified time frame. The final cash draw is made prior to deobligation by the funding agency.

DAS AP staff queries SAM II expenditures and requests payment based on the funding agency's percentage of expenditures. Some payment requests are made through the mail using the Request

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For Advance or Reimbursement, Standard Form 270, while others are made through the federal Automated Standard Application for Payments (ASAP) system. DAS AP staff maintains a schedule of draws and reconciles the draws to each final Financial Status Report (FSR) and each Cash Transaction Report (CTR) as those reports are completed and filed. DAS AP is responsible for maintaining federal fund solvency through draw patterns.

Reporting

Interim and final progress reports are submitted by the organization as specified in the award terms and conditions. In addition, EPA awards require submission of a Minority Business Enterprise/Women Business Enterprise (MBE/WBE) report. The organization submits interim MBE/WBE reports. The division/ program prepares the final MBE/WBE report and submits the report to the DAS AP. The DAS AP submits the final MBE/WBE report with the final FSR.

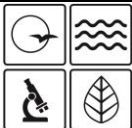
When an invoice is required by the funding agency to be submitted with a progress report, the DAS AP will prepare the required invoice and coordinate submission with the organization.

The DAS AP prepares Financial Status Reports (FSR), Standard Form 269 or 269a, and/or Federal Cash Transaction Reports (CTR), Standard Form 272, required periodically by most of the federal funding agencies. Report due dates are dependent on the type of financial report required and the frequency of the report. Final reports are due 90 days after the expiration or termination of the federal support.

If an FSR is not required by the funding agency, but another form of financial reporting is required, a reconciliation of reported award expenditures to the SAM II federal aid subsystem must be completed prior to submission of the report by the organization after consultation with the DAS AP. The reconciliation is not required for periodic progress reports.

Monthly, the DAS AP notifies the organization of any quarterly, annual or final reports coming due the following month. This notification serves to remind the organization to finish posting payments to the award and asks them to submit the final MBE/WBE report to DAS AP for any EPA awards. The MBE/WBE report is due to the DAS AP by the 15th day of the final month of the liquidation period.

For final reports, posting of payments to the award should be completed by the end of the second month of the liquidation period. Approval from the division's fiscal liaison or designee is

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Number: 7.08-01	July 1, 2005	March 28, 2007

required on requests to allow additional costs to post during the final month of the liquidation period. These requests should contain the federal aid number, reporting category, document number, amount, and justification for the extension.

The DAS AP prepares a Lobbying and Litigation Certificate (EPA Form 5700-53) for any EPA award for which a final FSR is being prepared. One certificate is prepared for all final EPA FSRs prepared for the month. The DAS AP routes a blue folder containing the certificate to the DAS director for signature. The DAS director reviews the certificate, signs it, and using the blue folder, routes the signed certificate back the DAS AP.

The DAS AP prepares all financial reports and submits them along with any applicable final MBE/WBE reports and lobbying certifications to the funding agency prior to the expiration of the liquidation period. The organization is given an opportunity to review the reports prior to their submission to the funding agency.

Annually, the State Auditor's Office performs an OMB Circular A-133 audit of the federal funds the department has received during the year. The DAS AP prepares a Schedule of Expenditures of Federal Awards (SEFA) for inclusion in the auditor's report.

Close – Out of Funding Agreements

Monthly the DAS AP closes out awards with expired liquidation periods. This is accomplished by determining the 0140 fund cash balance, reconciling to SAM II, the final FSR, and the Letter of Credit. The Reconciliation for Grant Closeout (RGC) form is used to facilitate the reconciliation. Attachment 11 is the Reconciliation for Grant Close Out form.

Once the reconciliation is complete, DAS AP sends the RGC form to the fiscal liaison and designee(s) for approval. The fiscal liaison or designee has two weeks to review and send approval of the RGC form to DAS AP. After receiving the approval, DAS AP closes the award in the SAM II system and adjusts the division's control account by the 0140 fund balance on the reconciliation.

MISSOURI DEPARTMENT OF NATURAL RESOURCES

FUNDING SUMMARY

COMPLETE FOR ALL GRANTS

CHECK FOR GRANT APPLICATIONS ____ Original ____ Revision ____ Amendment										
Grant Name		Grant Number		Funding Agency Project Officer						
Grant Agency				Federal Fund Source						
Project Period:				Budget Period:						
PURPOSE OR DESCRIPTION										
LIST ALL SUPPORTING PROGRAMS, SUBGRANTS, OR CONTRACTORS SEPARATELY										
BUDGET BY OBJECT		COLUMN TOTALS	FUNDED PROGRAMS							
PERSONNEL										
FRINGE (%)										
TRAVEL										
EQUIPMENT										
SUPPLIES										
CONTRACTS										
CONSTRUCTION										
OTHER										
TOTAL DIRECT										
INDIRECT (%)										
TOTAL GRANT										
STATE MATCH (%)		FEDERAL FUNDS		FEDERAL FUNDS		FEDERAL FUNDS		FEDERAL FUNDS		
BY FUNDING SOURCE										
Appropriation by Program		Comments								
		PS 5376								
		EE 5382								
		PSD 8053								
Reporting Category		TBA								
Project Code		TBA								
Reporting Requirement ()										
Forecasted Spending (Specify months included in quarters)		First fiscal year				Second Fiscal Year				
		SFY05				SFY06				
		<u>1st Quarter</u> JUL-SEP	<u>2nd Quarter</u> OCT-DEC	<u>3rd Quarter</u> JAN-MAR	<u>4th Quarter</u> APR-JUN	<u>1st Quarter</u> JUL-SEP	<u>2nd Quarter</u> OCT-DEC	<u>3rd Quarter</u> JAN-MAR	<u>4th Quarter</u> APR-JUN	
		Third fiscal year				SFY 07				
		<u>1st Quarter</u> JUL-SEP	<u>2nd Quarter</u> OCT-DEC	<u>3rd Quarter</u> JAN-MAR	<u>4th Quarter</u> APR-JUN	Total for 1st year			\$0	
					Total for 2nd year			\$0		
					Total for 3rd year			\$0		
PROJECT OFFICER SIGNATURE				DATE		PROGRAM DIRECTOR SIGNATURE				DATE
DIVISION DIRECTOR SIGNATURE						DATE				

Attachment 2

Name

Office of Administration
Intergovernmental Relations
Missouri State Capitol, Room 125
Jefferson City, MO 65101

Dear *Name*:

Enclosed for your review is the Department of Natural Resources' application to the U.S. Environmental Protection Agency for a 104(b)(3) Grant, Impact of Confined Animal Feeding Operations on the Water Quality of Domestic Wells in Southwest Missouri. The funds applied for within this proposal are to be used to develop supporting information on the impacts related to large confinement operations in the vicinity of the Elk River, which is included on the section 303(d) list of impaired surface waters. As a significant portion of the contamination appears to stem from land-based activities and may reach the surface waters through groundwater routes, this project may help address the impairment by tracing nitrogen through groundwater. The methods used in this project will also support the application of that technology to other waters with similar impacts.

If you have questions or need additional information, please call (put DNR Grant Manager name here), at (573) ###-####. Thank you.

Sincerely,

DNR Program Name

Name

Title

Enclosure

Attachment 3

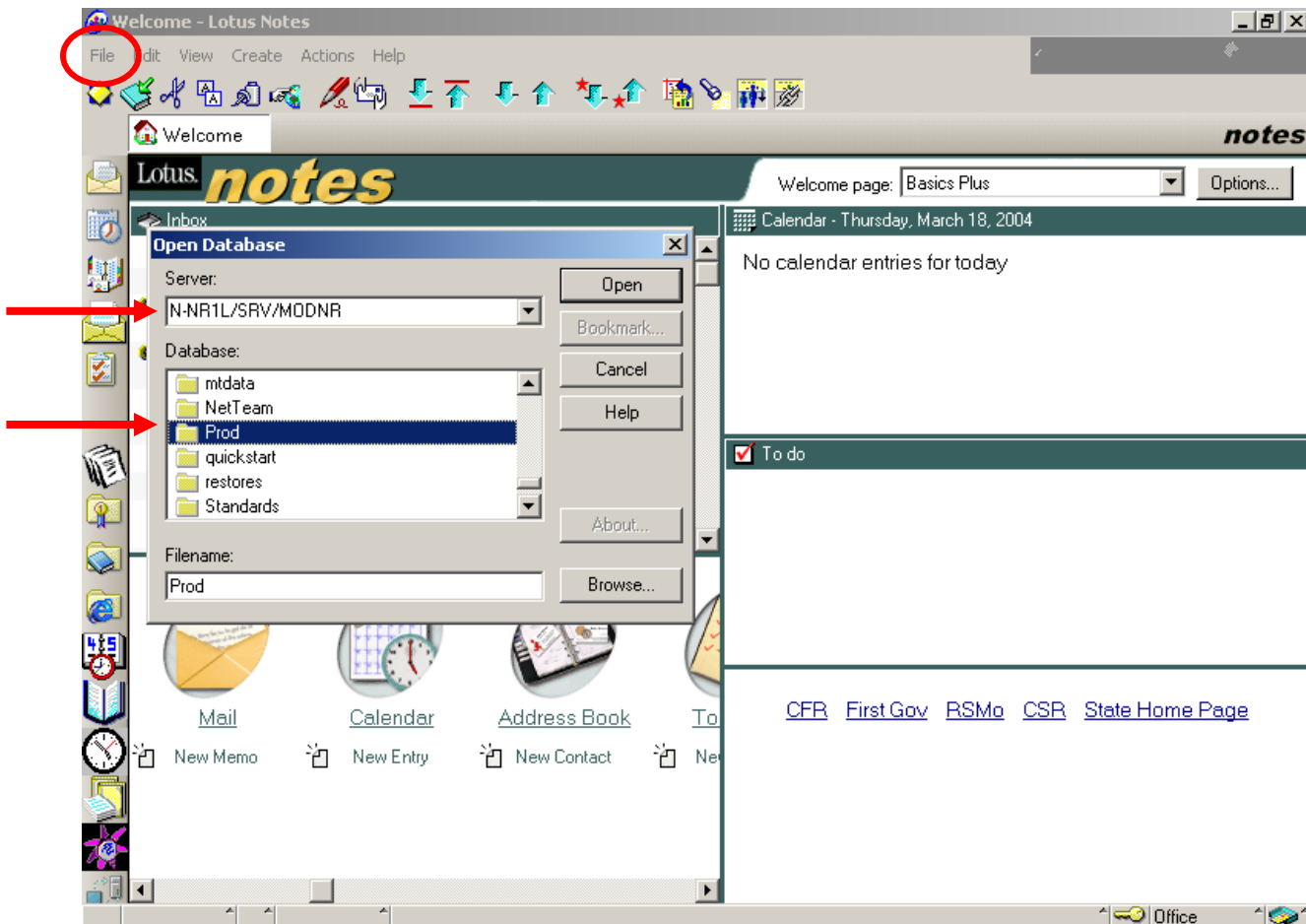
Electronic Purple Folder Process

Accessing the Folder Tracking System

Persons reviewing grant applications and grant awards need access to the Lotus Notes folder tracking system to do their reviews. ITSD End User Support can bookmark the folder tracking system database for users. Or, use the following process to set the bookmark yourself. From Lotus Notes:

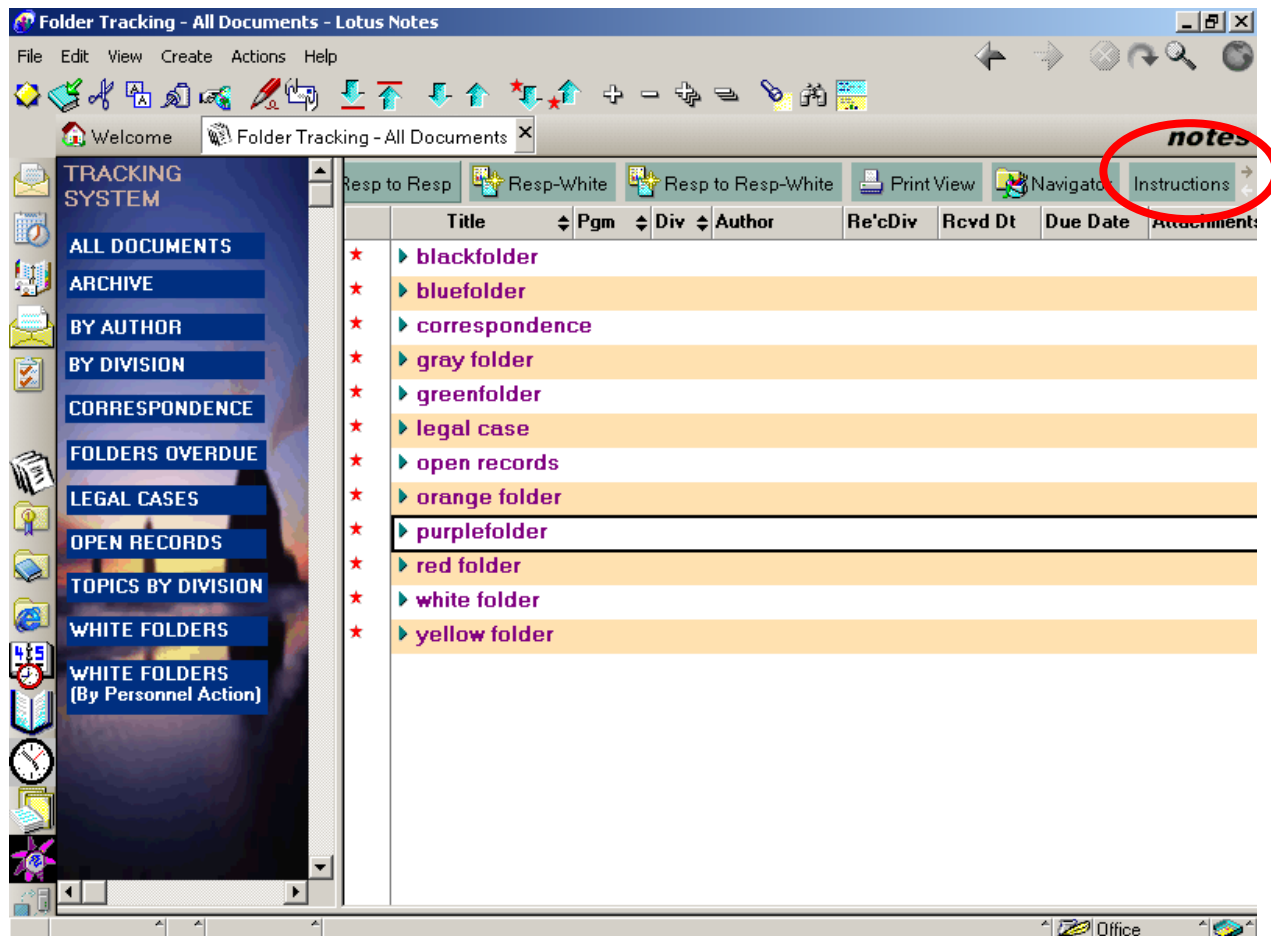
1. Choose "File"
2. "Database"
3. "Open"
4. "Server:" N-NR1L/SRV/MODNR
5.
 - "Prod" Folder (towards the bottom of choices)
 - "Dept"
 - "Folder Tracking"
 - Choose "Bookmark"

Click on the icon for the database to use the Lotus Notes folder tracking system.



Creating a New Purple Folder

Federal funds applications or federal notice of awards are routed for review using the folder tracking system. The first step in the review process is creating an electronic purple folder. Create a new purple folder document allowing the tracking system to assign the next available purple folder number. Instructions for using the folder tracking database and archiving folders are located on the menu bar.



Preparing the Purple Folder

Complete all the fields in the electronic document. For applications, complete the Application Mailing Address fields. Attach the application or notice of award to the electronic purple folder document. To attach the file(s) to the electronic document, put the insertion point in the “General Comments” field, click the “File” menu then click “Attach”. “Attach” is not available if the insertion point is not in a field. Attach all other documents necessary for the review of the application/award, e.g., Funding Application Review Checklist.

Click on the “Setup Review Cycle” button to establish the sequence of reviewers.

New Document - Lotus Notes

File Edit View Create Actions Text Help

Welcome Folder Tracking - All Documents New Document X

notes

Close Edit Document Mark Private Setup Review Cycle

Hit for Next Folder Number

Folder Number: P 9999

Division: DAS

Program: AP

Topic: Enter Federal Funds Program Name Here Amount: \$99999.99

Received Date:	Date Noted On Correspondence:	Due Date:	Response Date:
16	16	04/30/2004 16	16

Constituent Data:

Name:	Federal Agency Name
Address Line 1:	Federal Agency AddressLine 1
Address Line 2:	
Address Line 3:	
Address Line 4:	

Signature Required: By Non-Dept. Emp: By Dept. Emp: Gary Heimericks/DAS/MODNR

General Comments:

Renewable Energy.xfd Grant Review Checklist.doc

Default Sans 10 [None] You have new mail Office

Setting Up the Review Cycle

In the Review Cycle option box, you must select the following options:

Review style:

Serial (Only one reviewer can review the document at a time in the review order selected-keeps all document revisions made by Serial Reviewers.)

Allotted time:

Keep sending reminders to the reviewer until the reviewer selects the “MY REVIEW IS COMPLETE” button.

Enter the number of days each reviewer has before they start receiving reminder e-mails.

Notification:

Select “Notify me after final reviewer”.

Click “OK” to set the review cycle.

The screenshot shows the Lotus Notes application window with the 'Review Cycle' dialog box open. The dialog box has four main sections: 'Review style:', 'Allotted time:', 'Notification:', and a 'Save choices for next time' checkbox. Red arrows point to the 'Serial' dropdown, the 'Keep sending reminders...' dropdown, the '16' day input field, and the 'Notify me after final reviewer' dropdown. Below the dialog box, a document form is visible with a 'Topic' field containing 'Enter Federal Funds Program Name Here' and an 'Amount' field containing '\$99999.99'. The form includes a table for dates and a section for constituent data.

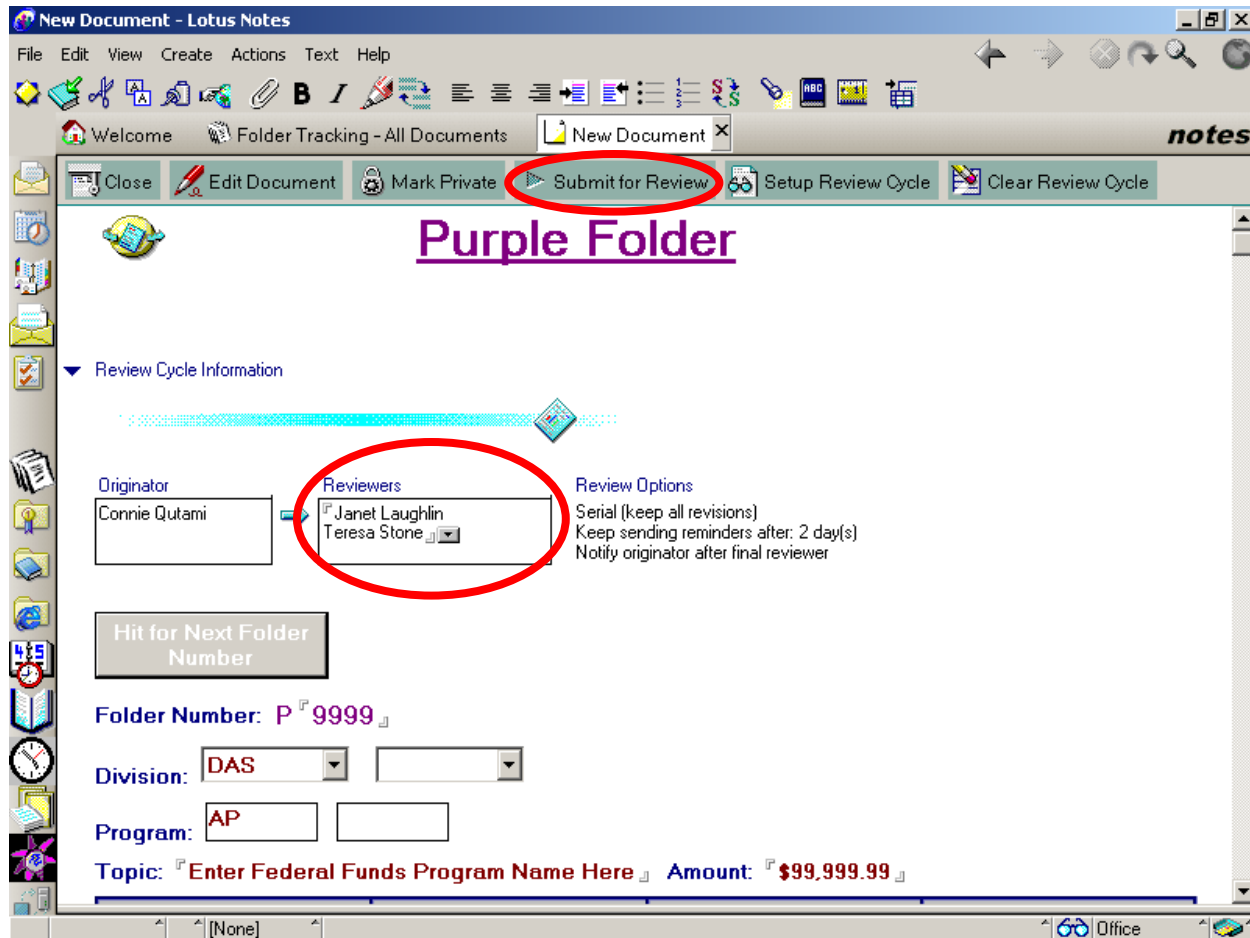
Received Date:	Date Noted On Correspondence:	Due Date:	Response Date:
16	16	04/30/2004 16	16

Constituent Data:

Name:	Federal Agency Name
Address Line 1:	Federal Agency AddressLine 1
Address Line 2:	
Address Line 3:	

Enter the names of the reviewers in the “Review Cycle Information” “Reviewers” option box. At a minimum the reviewers should include the Program Grant Manager, the Program Director/District Supervisor/Designee, Division Fiscal Liaison, Division Director/Designee, DAS AP (for review), DAS Director, and DAS AP Director (for submittal).

Submit the folder for review by clicking the “Submit for Review” button.



New Document - Lotus Notes

File Edit View Create Actions Text Help

Welcome Folder Tracking - All Documents New Document

Close Edit Document Mark Private **Submit for Review** Setup Review Cycle Clear Review Cycle

Purple Folder

▼ Review Cycle Information

Originator: Connie Qutami

Reviewers: Janet Laughlin, Teresa Stone

Review Options:
Serial (keep all revisions)
Keep sending reminders after: 2 day(s)
Notify originator after final reviewer

Hit for Next Folder Number

Folder Number: P 9999

Division: DAS

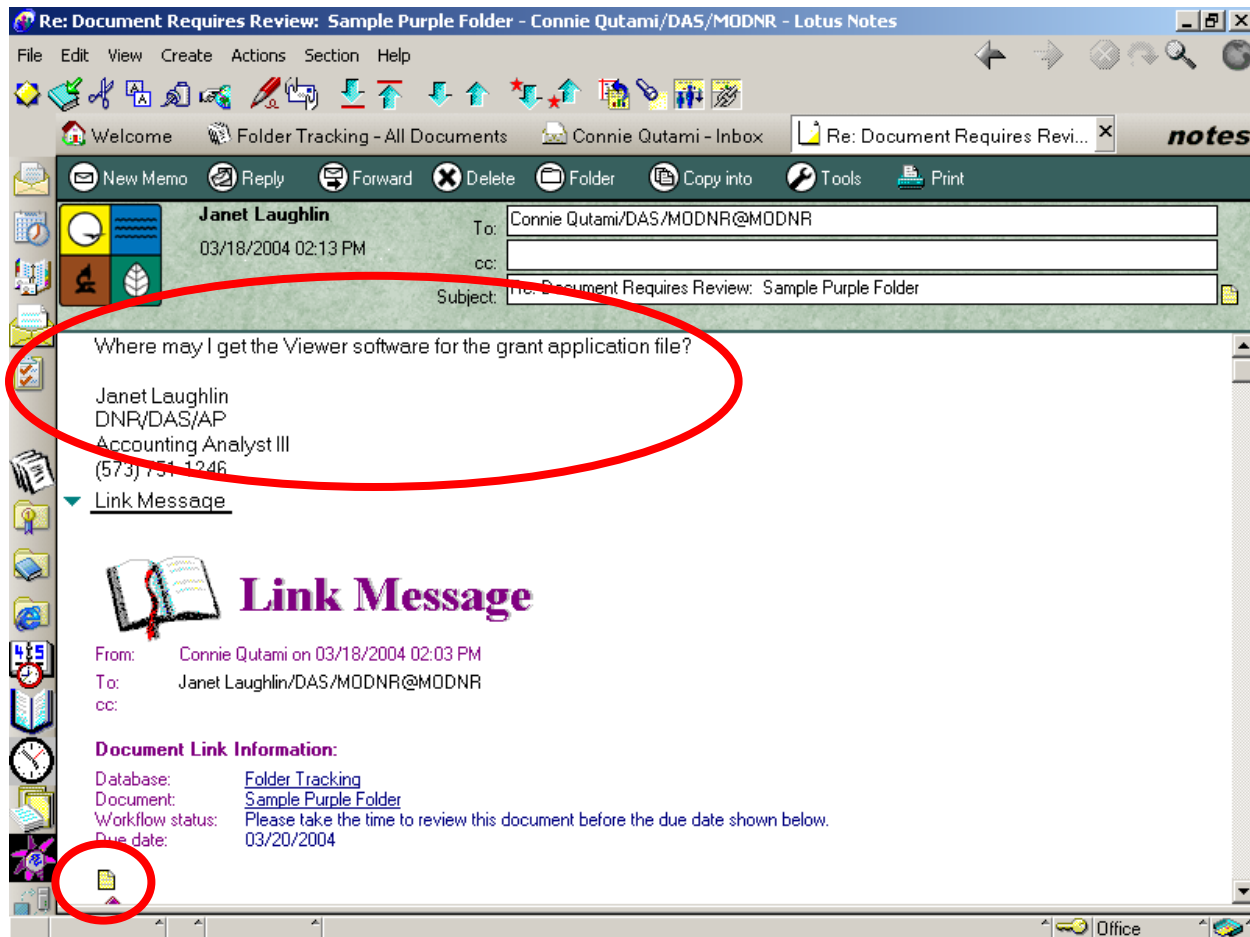
Program: AP

Topic: Enter Federal Funds Program Name Here Amount: \$99,999.99

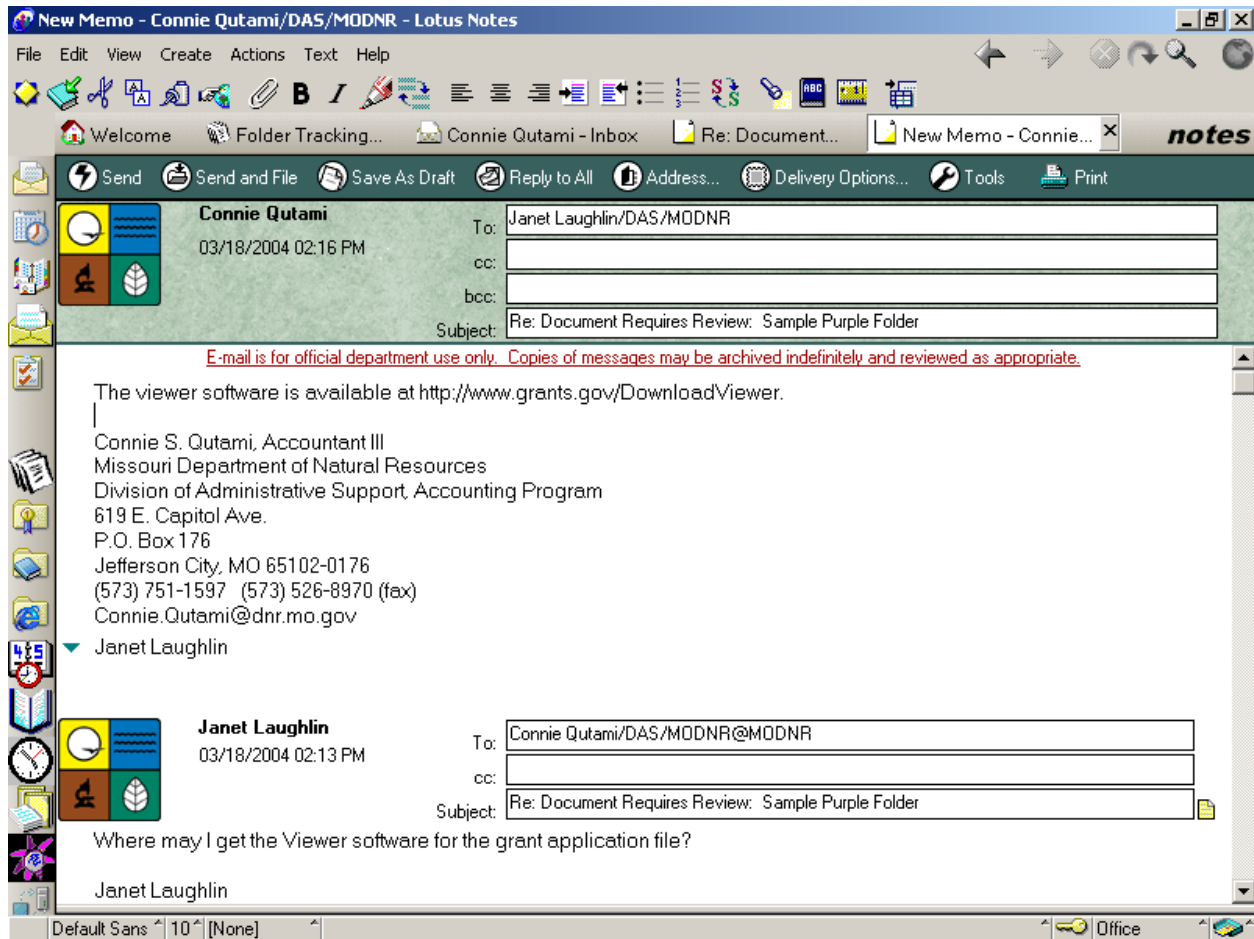
[None] Office

Reviewing the Purple Folder Contents

Each reviewer will receive an e-mail, in turn, containing a link to the purple folder. When needed, the reviewer may reply to the originator asking them a question or to give additional instructions. The reviewer can also forward the link to others outside the review cycle to ask for additional information.



The originator answers the question or performs the additional tasks and sends an e-mail reply back to the reviewer.



The General Comments field can be used in three ways: a message may be typed directly in the General Comments field; files may be attached; and links to e-mails may be attached. To attach an e-mail link to the electronic purple folder open the Lotus Notes mail program and right click the e-mail you want to link to. Select “Copy as Link” from the pop-up menu. Return to the electronic purple folder and place the insertion point in the “General Comments” field and paste the link into the folder. Files and e-mail links, in the “General Comments” field, are opened by double-clicking the icon. A disadvantage to using this technique is if the e-mail is deleted a record of the contents of the e-mail is not kept with the folder.

The screenshot displays the Lotus Notes interface. The top window, titled "Connie Qutami - Inbox - Lotus Notes", shows a list of emails. A right-click context menu is open over one of the emails, with "Copy as Link" highlighted by a red circle. The bottom window, titled "Sample - Lotus Notes", shows a document form with fields for Division, Program, Topic, and dates. The "General Comments" field at the bottom contains two file icons: "Renewable Energy.xfd" and "Grant Review Checklist.doc", with the latter icon circled in red.

Connie Qutami - Inbox - Lotus Notes

Who	Date	Size	Subject
Angie McMichael	03/19/2004	46	Re: Network Readiness Grant Final
Marianne Britten	03/19/2004	4	SHPD Purple Folders
Melanie Cross	03/18/2004	30	Re: GSRAD - Earthquake grant - FH6102X00009
Alice Geller	03/18/2004	42	Staff survey
Sharon Tejan	03/18/2004	2	New Job code for Shiber Trucking - Chronic Acid Spill -EER Incident
Janet Laughlin	03/18/2004	140	dsfoi
Janet Laughlin	03/18/2004	184	screenprint
Teresa Stone	03/18/2004	1	Review is complete for: Sample
Janet Laughlin	03/18/2004	15	Re: Document Requires Review: Sample Purple Folder
Document Properties...		4	MDNR Subcontract
Cut		5	FW: Love Defined
Copy		61	Re: UMR-MoDOT Grant Set up - QUESTION
Copy as Link		60	Re: UMR-MoDOT Grant Set up - QUESTION
Paste		1	Gift for JoAnn
Clear		3	Mastadon State Park Rec Trails grant
Open		2	Adding 3rd Year Funding - NCRDS 02ERAG0020
Open In New Window		1	LEGAL HANGING FOLDERS
Bookmark...			
Edit			
Print...			
Beverly Bond			
Cindy Wolken			
DeVore, Vandee			

Sample - Lotus Notes

Division: DAS ALPD

Program: AP

Topic: Enter Federal Funds Program Name Here Amount: \$99,999.99

Received Date:	Date Noted On Correspondence:	Due Date:	Response Date:
16	16	04/30/2004 16	16

Constituent Data:

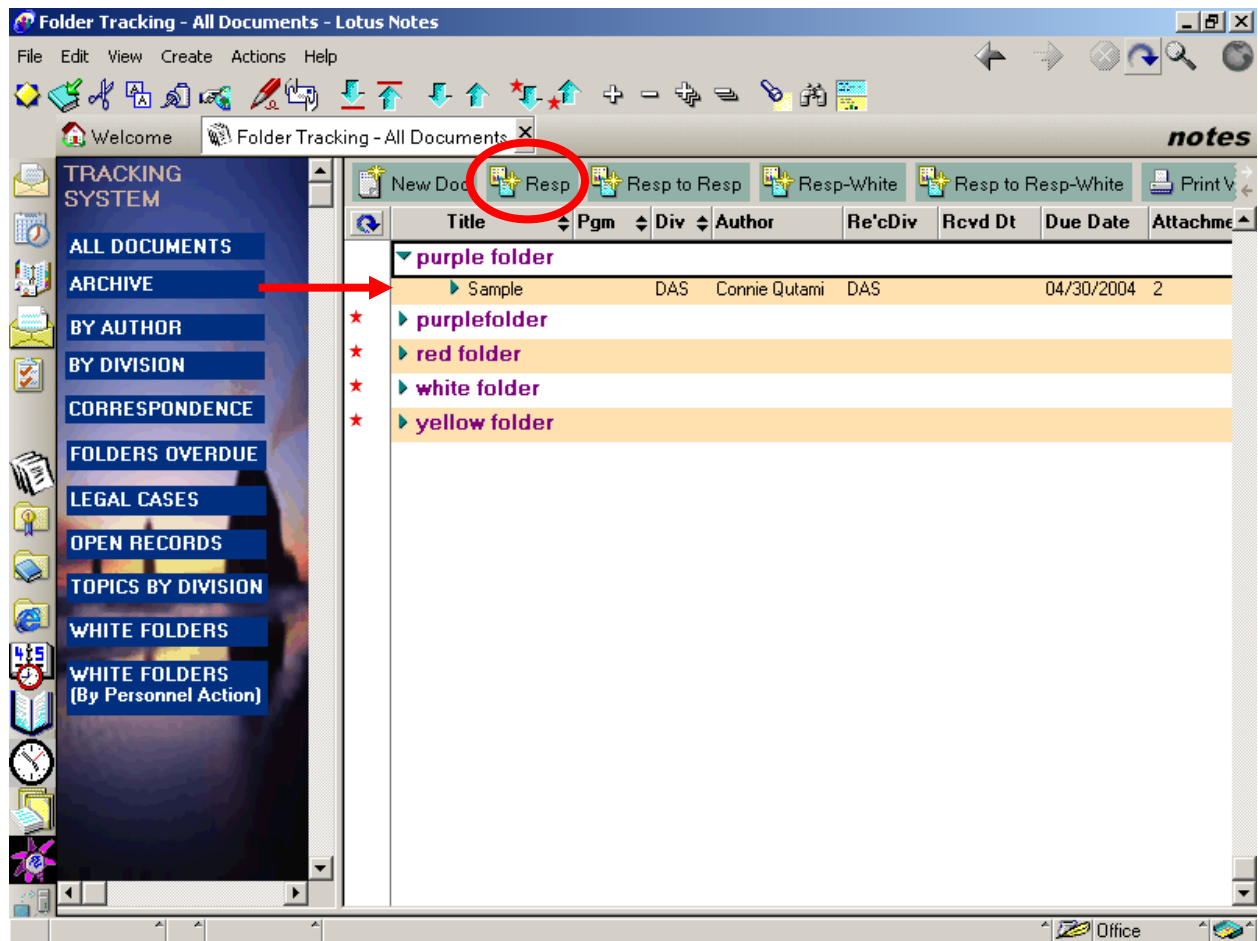
Name:	Federal Agency Name
Address Line 1:	Federal Agency AddressLine 1
Address Line 2:	
Address Line 3:	
Address Line 4:	

Signature Required: By Non-Dept. Emp:
By Dept. Emp: Gary Heimericks/DAS/MODNR

General Comments:

Renewable Energy.xfd Grant Review Checklist.doc

The reviewer may prefer to create a document response, “Resp”. Start from the Lotus Notes Folder Tracking screen. To create a response, highlight the folder and click the “Resp” button on the menu bar, a blank document will open.



Two text boxes are available on the response document. The information typed in the first box will appear on the log screen under the folder associated with the response. The information typed in the second text box will not show up on the display log. The “Resp” button only enters the information in the folder tracking system. An e-mail or phone message will have to be sent to inform someone a question or comment is posted in the tracking system.

The screenshot displays two Lotus Notes windows. The top window, titled "New Response to 'Sample' - Lotus Notes", contains a text box with the subject "Question for Connie" and the body text "Where may I get the viewer software for the grant application file?". The bottom window, titled "Folder Tracking - All Documents - Lotus Notes", shows a table of tracked documents. A red arrow points from the subject line of the response document to the "Question for Connie" entry in the tracking log.

Title	Pgm	Div	Author	Re'cDiv	Rcvd Dt	Due Date	Attachme
purple folder							
Sample		DAS	Connie Qutami	DAS		04/30/2004	2
Sample (Connie Qutami)							
Question for Connie (Janet Laughlin)							
Sample (Connie Qutami),Purple (Connie Qutami),Folder (Connie Qutami)							
purplefolder							
red folder							
white folder							
yellow folder							

To answer a response, highlight the response on the log and click the “Resp to Resp” button on the menu bar. A blank document similar to the “Resp” document will open. Type your message in the appropriate fields. The information you typed in the first field will appear on the log screen under the response. An e-mail or phone message will have to be sent to inform someone a Resp to Resp is posted in the tracking system.

The screenshot displays the Lotus Notes Folder Tracking interface. The top window, titled "Folder Tracking - All Documents - Lotus Notes", shows a menu bar with "File", "Edit", "View", "Create", "Actions", and "Help". Below the menu bar is a toolbar with various icons. The left sidebar contains a "TRACKING SYSTEM" menu with options like "ALL DOCUMENTS", "ARCHIVE", "BY AUTHOR", "BY DIVISION", "CORRESPONDENCE", "FOLDERS OVERDUE", "LEGAL CASES", "OPEN RECORDS", and "TOPICS BY DIVISION". The main area shows a table of documents with columns: Title, Pgm, Div, Author, Re'cDiv, Rcvd Dt, Due Date, and Attachments. The table lists several documents, including "Sample" and "Question for Connie (Janet Laughlin)". A red circle highlights the "Resp to Resp" button in the menu bar. A red arrow points from the "BY AUTHOR" menu item to the "Answer for Janet Laughlin (Connie Qutami)" document in the table.

The bottom window, titled "Response to 'Question for Connie' - Lotus Notes", shows a detailed view of the selected response. The title is "Answer for Janet Laughlin". The text area contains the following content:

Created by: Connie Qutami on 03/18/2004 at 02:26 PM

You can get the viewer software at <http://www.grants.gov/DownloadViewer>.

The status bar at the bottom indicates "109818 unread document(s) remaining" and "Office".

Completing the Review

After completing the review, click the “My Review is Complete” button to send the purple folder to the next reviewer.

Microsoft Excel

SamplePurpleFolder - Lotus Notes

File Edit View Create Actions Section Help

Welcome Janet Laughlin - Inbox Documents Requires Review Sample Purple Folder SamplePurpleFolder

notes

Close Edit Document Mark Private **My Review is Complete**

Purple Folder

Review Cycle Information

Hit for Next Folder Number

Folder Number: P # 9999

Division: DAS ALPD

Program: AP

Topic: Enter Federal Funds Program Name Here Amount: \$99,999.99

Received Date:	Date Noted On Correspondence:	Due Date:	Response Date:
16	16	04/30/2004 16	16

Constituent Data:

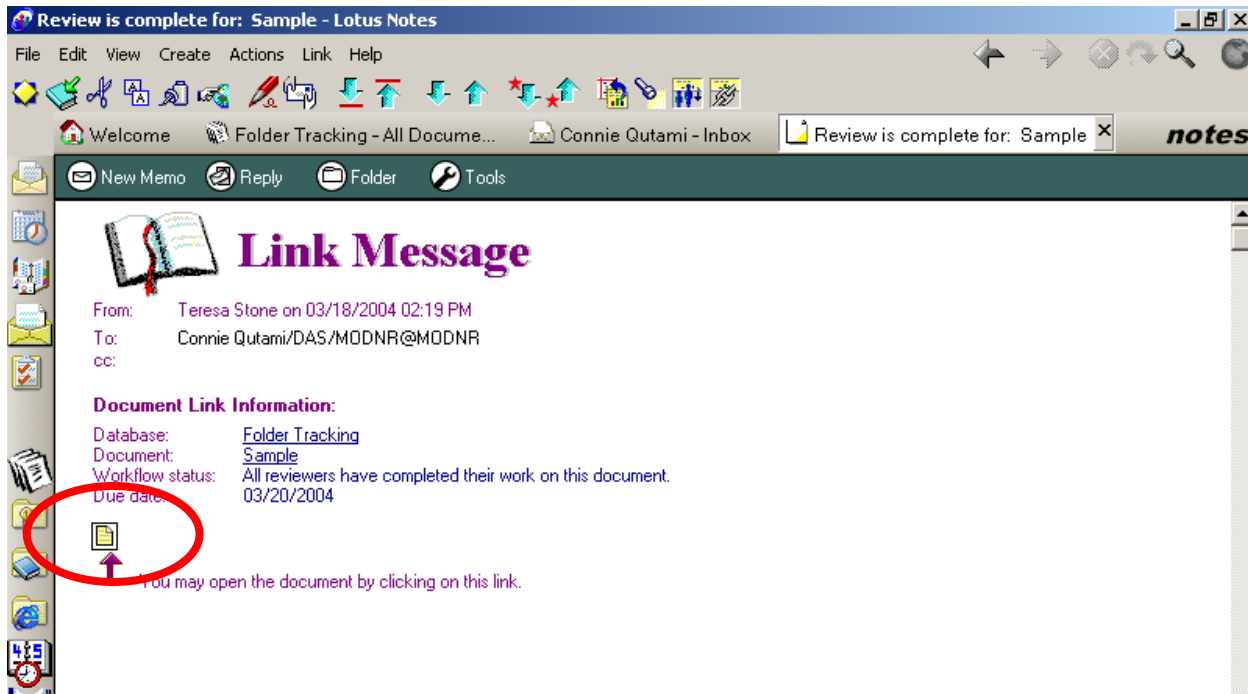
Name:	Federal Agency Name
Address Line 1:	Federal Agency AddressLine 1
Address Line 2:	
Address Line 3:	
Address Line 4:	

Signature Required: By Non-Dept. Emp. By Dept. Emp. San Heidecker, DAC/MOPMD

This is the protected text area of the form.

Start SamplePurpleF... Microsoft Word Microsoft Excel 2:14 PM

An e-mail message containing a link to the purple folder is sent to the next reviewer in the review cycle. Progress through the review cycle can be tracked by clicking the “Reviewer Log” link beneath the “General Comments” field in the purple folder.



This screenshot shows the 'Sample' document form in Lotus Notes. The title bar reads 'Sample - Lotus Notes'. The form includes fields for 'Received Date', 'Date Noted On Correspondence', 'Due Date' (04/30/2004), and 'Response Date'. Below these are 'Constituent Data' fields for Name, Address Line 1, Address Line 2, Address Line 3, and Address Line 4. The 'Signature Required' section shows 'By Non-Dept. Emp.' and 'By Dept. Emp.' (Gary Heimericks/DAS/MODNR). The 'General Comments' section contains a list of documents: 'Renewable Energy.xfd' and 'Grant Review Checklist.doc'. A red circle highlights the 'Reviewer Log' link, which shows a list of reviewers: Janet Laughlin on 3/18/2004 and Teresa Stone on 3/18/2004. The status bar at the bottom indicates '109816 unread document(s) remaining'.

Received Date:	Date Noted On Correspondence:	Due Date:	Response Date:
<input type="text" value="16"/>	<input type="text" value="16"/>	04/30/2004 <input type="text" value="16"/>	<input type="text" value="16"/>

Constituent Data:

Name:	Federal Agency Name
Address Line 1:	Federal Agency AddressLine 1
Address Line 2:	
Address Line 3:	
Address Line 4:	

Signature Required: By Non-Dept. Emp.
By Dept. Emp. Gary Heimericks/DAS/MODNR

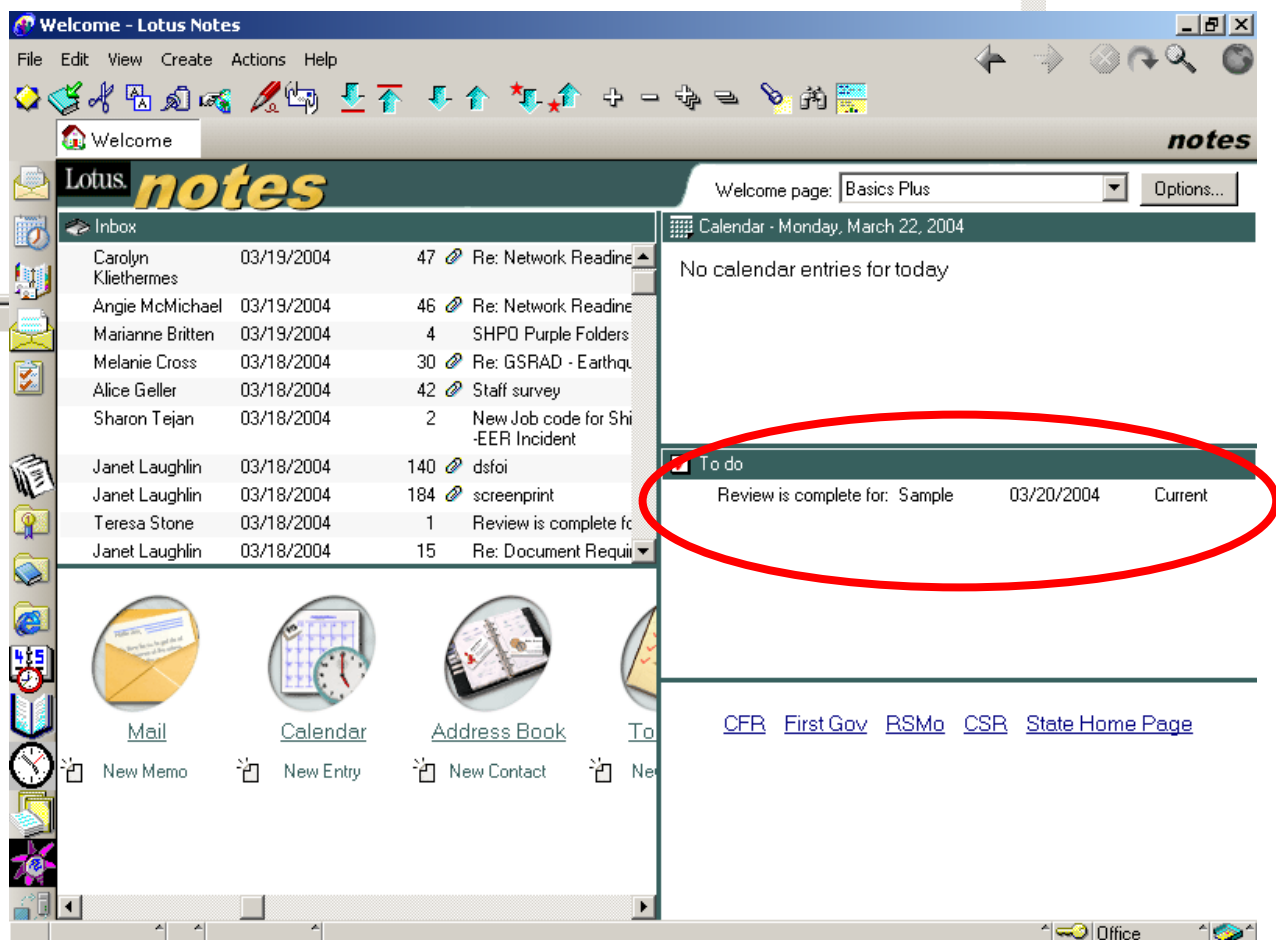
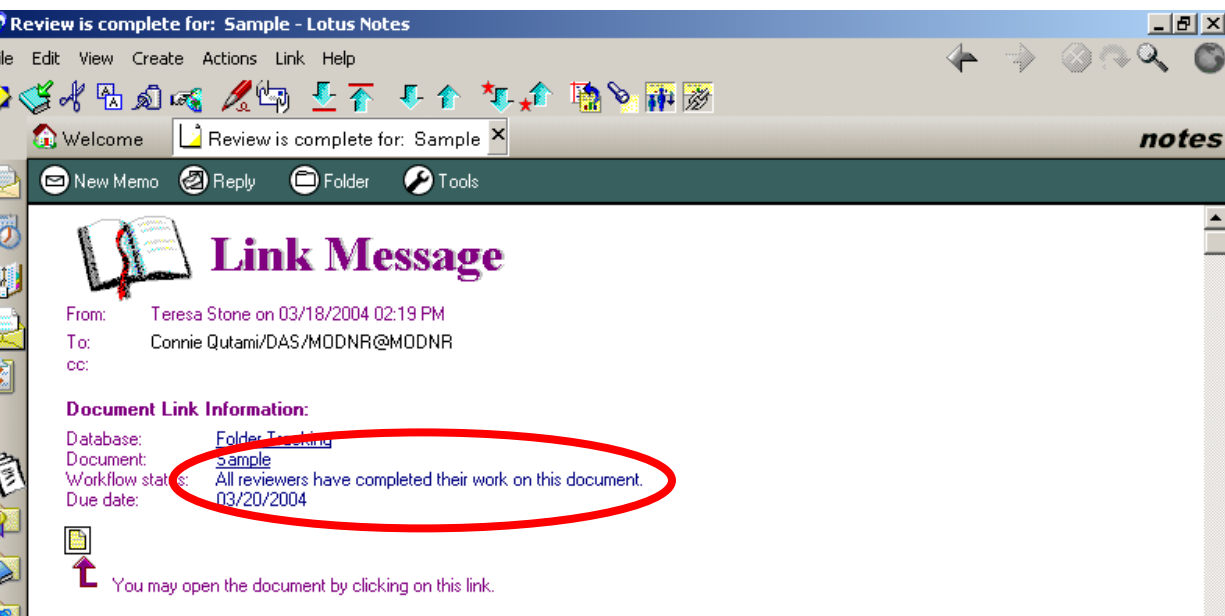
General Comments:

- Renewable Energy.xfd
- Grant Review Checklist.doc

Reviewer Log

- Janet Laughlin on 3/18/2004
- Teresa Stone on 3/18/2004

When all the reviewers in the review cycle have completed their review of the contents of the electronic purple folder, an e-mail is automatically generated and sent to the purple folder originator notifying him/her that the review cycle is complete. A message also appears in the To Do list content area within Lotus Notes.



Attachment 4

MISSOURI DEPARTMENT OF NATURAL RESOURCES
Funding Application Review Checklist

Purple Folder # _____

This checklist applies to all applications regardless of the funding source. Complete all header fields that apply.

<input type="checkbox"/> New Application	<input type="checkbox"/> Amendment Application	
Application/Award Deadline: _____	Federal Aid #: _____	
Federal Aid Title: _____	SAM II Federal Aid #: _____	
Sponsoring Agency: _____	Government-wide #: _____	
Budget Period: _____	CFDA #: _____	
Application Amount: \$ _____	Sharing Ratio: _____	

CRITERIA	Yes	No	N/A	CITATION/ COMMENTS/ REFERENCE	REVIEWER INITIALS	
					PROG	DIV
1. Enter most current budget book Program Description Form page number and printing version. Or, include the DAS BP in the electronic purple folder review cycle. (Division/program)						
2. Funding Summary is complete and accurate (when required by division). (Fiscal Unit or Program)						
3. Appropriation authority exists. (Division/program)						
4. The following documents are attached to the electronic purple folder:						
a. Funding Application Review Checklist.(Division/program)						
b. Transmittal memo to department director. (Division/program)						
1. Extraordinary special terms or conditions are explained in memo to director. (Division/program)						
c. DNR Funding Summary, when required by division. (Division/program)						
d. Grant Application Package, SUBMIT button is active. (Division/program)						
1. The budget is complete and accurate. (Division/program)						
2. Correct fringe rate was used. (Division)						
3. Correct indirect rate(s) was used. (Division)						
4. The project narrative was reviewed. (Division/program)						
5. Clearinghouse requirement met. (Division/program)						
5. The Program Director/District Supervisor reviewed and approved this application package. (Division/program)						

Attachment 5

MISSOURI DEPARTMENT OF NATURAL RESOURCES
Funding Acceptance Review Checklist (For Awards and Amendments)

Purple Folder # _____

This checklist applies to all awards regardless of the funding source. Complete all header fields that apply.

☐ New Award ☐ Amendment/Extension of an Existing Award

Federal Aid Title: _____

Federal Aid #: _____

Awarding Agency: _____

SAM II Federal Aid #: _____

Budget Period: _____

Government-wide #: _____

Award Amount: \$ _____

CFDA #: _____

Sharing Ratio: _____

CRITERIA	Yes	No	N/A	CITATION/ COMMENTS/ REFERENCE	REVIEWER INITIALS	
					DIV	PROG
1. The following documents are attached to the purple folder:						
a. Funding Acceptance Review Checklist (Division/program)						
b. Notice of Award (Division/program)						
c. Transmittal memo to department director. (Division/program)						
1. Includes discussion of extraordinary special terms and conditions, (e.g. limits use of approved fringe or indirect rates) (Division/program)						
2. Explains any differences between award and grant application, (e.g. partial awards, impact on matching ratio, etc.) (Division/program)						
3. Discusses any mathematical errors in the award budget. (Division/program)						
4. Explains any differences between the funding application and funding award and how these affect the program's ability to carry out the objectives of the award. (Division/program)						
5. Makes recommendation whether to accept "as is", with conditions, or reject. (Division)						
d. Notice of Award (Division/program)						
2. The Program Director/District Supervisor reviewed and approved this award document. (Division/program)						

Attachment 7

LABOR DISTRIBUTION PROFILE (LDPR) REQUEST FORM:

Put an X next to the action that applies to the LDPR:

		LDPR ADDITION	
		LDPR EXPIRATION	
		LDPR CHANGE	
LDPR CODE:		LDPR DESCRIPTION:	
EFFECTIVE DATE:		EXPIRATION DATE:	CHANGE TO THE LDPR DESCRIPTION
			(IF EXPIRING NO DATE REQUIRED)

	FUND	AGENCY	ORG	OPTIONAL SUB-ORG	APPR.	OPTIONAL ACTIVITY	OPTIONAL * FUNCTION	OBJECT	OPTIONAL PROJ/JOB	OPTIONAL REPT CAT	PERCENT
1		780						2005			
2		780						2005			
3		780						2005			
4		780						2005			
5		780						2005			
6		780						2005			
7		780						2005			
8		780						2005			
9		780						2005			
10		780						2005			

PREPARED BY:

DATE:

* Required by DEQ

Divisional Approval Required. Please route through the following:

DEQ: Wanda Groner / Linda Jaegers / Rosie Schulte

DGLS: Nona Lancaster / Jane Williams

DSP: Sue Steidley

Energy : Terri Oesterly

FSD: Ellie Funke / Larry Groner

Operations: Terri Oesterly

S&W: Milt Barr

Water Resources: Terri Oesterly

FOR ACCOUNTING USE ONLY:

___ 1. LDPR Coding Scheme Correct?

___ 2. FAIT Set up

___ 3. Is the Reporting Category/Project/Job Valid?

___ 4. Update the LDPR Description Database if necessary.

Attachment 8

FAIT REQUEST FORM

[illegible]

Requested by:

Approved by:

Instructions:

1. Enter the 2 digit Fiscal Year
2. Enter E if the line is used for payment transactions.
Enter R if the line is used for revenue transactions.
3. Enter the 4 digit fund code.
4. Enter the 3 digit agency code. (780, 781, 782)
5. Enter the 4 digit organization code.
6. Enter the 4 digit appropriation code.
7. Do not enter Activity Code.
8. Do not enter Function Code.
9. Enter the 3 digit Budget Object Code.
10. Enter the 4 digit Reporting Category.
11. Enter the Federal Aid Number (can be up to 12 digits)
12. Enter N in the CMIA Expense.
13. Enter A for addition or D for deletion of the line.
14. Enter Name in Requested by field.
15. Send request form to Division\Program Contact.
16. Enter name in Approved by field.

Approval Required. Please route through the following:

APC: Carolyn Kliethermes \ JoAnn Saunders

Operations: Terri Oesterly

DEQ: Linda Jaegers \ Wanda Groner

DGLS: Jane Williams \ Nona Lancaster

DSP: Sue Steidley \ Mary Stieferman \ Monica Chin

EC (Energy): Sharon Tejan

ESP: Angie Pemberton \ Aggie Hanks

HWP: Layne Washburn \ Kathy Nacy \ Larry Hirsch \ Deanna Boland

ICP: Linda Jaegers \ Nona Lancaster \ Sue Steidley \ Larry Groner \ Terri Oesterly

LRP: Ron Dumey

FSD: Ellie Funke \ Larry Groner

PPG: Grant Manager for each media (APC - Carolyn Kliethermes; HWP - Deanna Boland;

PDW/WPC - Brenda Meyer\Debbie Bruns ; Initiative & IAV - Ellie Funke)

ROP: Lead Program contact

S&W: Milt Barr

WPP: Debbie Bruns\ Brenda Meyer \ Cindy Wolken(for 319H only)

WR (Water Resources): Terri Oesterly

The form must be approved by the Division\Program Contact before it will

be added to the table. Failure to get approval will cause a delay

in adding the entry to the FAIT table. The division\program contacts are to the right.

Attachment 9

Certification of 100% Federally Funded Personal Service

(Per OMB Circular A-87, Attachment B, Item 11.h.3.)

(Awarding Agency Name)

(Grant Program Name)

(Award Number)

(6-month period covered: mm-dd-yy through mm-dd-yy)

The signatory certifies that during the period covered, _____ worked solely on the grant referenced above.
(Employee Name)

(Employee or Supervisor Signature)

Date: _____

(Printed/Typed Name of Signatory)

Attachment 10A

JV Number: 780

SAM II ADJUSTMENT (JV/FX) FORM

Header:

Date:

From:

Please process the following SAM II Adjustment: JV____ FX____

Sam II Document Number:	
Acceptance Date:	
Vendor/Prov/Cust Number:	

Accounting Lines:

Incorrect Line – Line#_____:

Fund	Agy	Org/Sub	Appr	Act	Func	Obj/Sub RevSrce /Sub	Job/Proj	Rept Cat	BS Acct	Bank Acct	Amount

Correct Line(s):

Fund	Agy	Org/Sub	Appr	Act	Func	Obj/Sub RevSrce /Sub	Job/Proj	Rept Cat	BS Acct	Bank Acct	Amount

Incorrect Line – Line#_____:

Fund	Ag y	Org/Sub	Appr	Act	Func	Obj/Sub RevSrce /Sub	Job/Proj	Rept Cat	BS Acct	Bank Acct	Amount

Correct Line(s):

Fund	Ag y	Org/Sub	Appr	Act	Func	Obj/Sub RevSrce /Sub	Job/Proj	Rept Cat	BS Acct	Bank Acct	Amount

Fixed Asset JV's Only

Fixed Asset Acquisition Document Number:	
Fixed Asset Type:	
Fixed Asset Number:	

Justification for Adjustment:

Attachment 10B

Adjustment Form Procedures

After entering the Journal Voucher in the SAM II system, complete the Adjustment Form. If a FX is needed, complete the adjustment form and the DNR-Accounting Program will enter the appropriate document in SAM II. Please keep in mind that FX documents cannot do the following types of corrections:

- Change the funding source
- Change the appropriation
- Change the project, sub-project, phase or job code
- Omit a reporting category when the Federal fund (0140) is used

Header:

1. Enter the Journal Voucher Number in the JV Number field. If an FX is being requested, enter nothing.
2. Enter today's date in the Date field.
3. Enter the name of the person the request is coming from.
4. Place an "X" next to the type of document being requested. Either JV (Journal Voucher) or FX (Federal Aid Charge).
5. Enter the Document number of the SAM II document being corrected in the SAM II Document Number field.
6. Enter the date the original SAM II document was accepted in the Acceptance Date field.
7. Enter the Vendor, Provider or Customer Number used on the original SAM II document in the Vendor/Prov/Cust Number field.

Accounting Lines:

1. Enter the line number from the original SAM II document in the Line # space.
2. Enter the accounting string that was incorrectly used under the Incorrect Line section.
3. Enter the corrected accounting string under the Correct Lines section. If the original accounting string needs to be split out to multiple new strings, enter one of the correct accounting strings. When you get to the Amount field, hit tab and another row will be created under the current row. Enter the next correct accounting string under the first. Continue doing this until all accounting strings are added.
4. If more than one line needs to be corrected from the original SAM II document, enter the next lines information in the next Incorrect Line- Line # section. If more than two lines in a SAM II document need to be corrected, copy the Incorrect Line- Line # and Correct Line(s) section and paste it below the other lines.

Fixed Asset JVs:

1. Enter the SAM II Fixed Asset Acquisition (FA) Document Number in the Fixed Asset Document Number field.
2. Enter the Fixed Asset type entered on the SAM II FA document in the Fixed Asset type field.
3. Enter the Asset Number entered on the SAM II FA document in the Fixed Asset Number field.

Justification:

1. Justify the reason for the adjustment. For example, if the JV is to change the reporting category, briefly explain why the reporting category needs to be changed. If the adjustment is being submitted after the Journal Voucher Cut-off date (see the Journal Voucher procedures for these dates), please note the reason for the adjustment, why the adjustment is needed and what is being done to catch these errors in a more timely manner in the future. Adjustments submitted after the cut-off date are scrutinized by OA-Accounting.

Submitting Adjustments:

- If the Adjustment is being submitted within OA set deadlines (see JV Cut-Off date in JV Procedures), attach the Adjustment form above to an email and send it to the SAM II JV & FX Adjustment address. The subject line of the email should be JV-Revenue, JV-Expenditure, JV-Fixed Asset or FX-Adjustment, depending on the type of Adjustment being submitted. Multiple Adjustment forms can be attached to an email.
- If the Adjustment is being submitted after the OA deadline, please forward the email to your divisions Fiscal Liaison for review. After reviewing the adjustment, the fiscal liaison should forward the email to the Accounting Program using the SAM II JV & FX –Adjustment address. The fiscal liaison needs to note in their email that they approve of the JV being completed.

Accounting Program:

The DNR-Accounting Program will review the Adjustment form and SAM II Document. The Accounting Program will apply approval to the SAM II Document and forward the Adjustment form to OA-Accounting for review and approval.

Attachment 11

Department of Natural Resources Reconciliation for Grant Closeout

GRANT NAME

GRANT #

FEDERAL/STATE SPLIT

Grant Start Date**Grant End Date****Federal Awarded Amount****State Required Amount**

In-Kind (if applicable)

Total Approved Budget

\$ -

[illegible]

Less: Refund of Expenditures

Plus: In-Kind Contribution

			(A) Federal Award Amount	(B) Balance on the ACH Ledger	Federal Draws (A)-(B)	Difference Between Revenues & Federal Draws
	REVENUE	Totals				
Revenues:						
Federal Draws Per IAS	-	-				
Federal Draws Per SAM II	-	-				
Plus: Draws Posted to Unrecovered	-	-				
Plus: Draws Posted Another Grant #	-	-				
	-	-	-	-	-	-

Grant Balance Closed to Control Account:

	Divisional <u>Control Acct</u>	Total Cash <u>Balance</u>
Cash Balance	-	-

I certify that I have reviewed and agree with the revenues, expenditures and cash balance allocation shown above:

Signature:

Date:

NOTE: Positive Cash Balance represents a positive cash transaction.

NOTE: SAM II tables code PS & Fringe under PS, however FSR are broke out between the two.

Attachment 12

Electronic Folder Attachments Naming Scheme and Order

Applications

2. Transmittal Letter
3. Letter to Funding Agency
4. Funding Application Review Checklist
5. Funding Summary (when required)
6. SF424 – Budget
7. Narrative
8. Other Required Forms – list by title
9. Other background materials
10. AP Grant Checklist

Awards

1. Notice of Award
2. Transmittal Letter
3. Funding Acceptance Review Checklist
4. AP Grant Checklist

Amendment

1. Transmittal Letter
2. Justification to Funding Agency
3. Funding Application Review Checklist
4. Funding Summary (when required and when change in funding is requested)
5. SF424 – Budget (when change in funding is requested)
6. Other background materials
7. AP Grant Checklist